

# APPLICATION FOR FEDERAL ASSISTANCE

1. TYPE OF SUBMISSION		2. DATE SUBMITTED	Applicant Identifier
Application	Pre-Application	3. DATE RECEIVED BY STATE	State Application Identifier
9 Construction	9 Construction	4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier
9 Non-Construction	9 Non-Construction		

  

5. APPLICANT INFORMATION	
Legal Name:	Organizational Unit:
Address (give city, county, state, and zip code):	Name and telephone number of the person to be contacted on matters involving this application (give area code)

  

6. EMPLOYER IDENTIFICATION NUMBER (EIN):	7. TYPE OF APPLICANT: (enter appropriate letter in box)
99-99999999	9
8. TYPE OF APPLICATION:	A. State B. County C. Municipal D. Township E. Interstate F. Intermunicipal G. Special District H. Independent School Dist. I. State Controlled Institution of Higher Learning J. Private University K. Indian Tribe L. Individual M. Profit Organization N. Other (Specialty) _____
9 New    9 Continuation    9 Revision  If Revision, enter appropriate letter(s) in box(es): A.Increase Award    B.Decrease Award    C.Increase Duration D.Decrease Duration    Other (specify): _____	9. NAME OF FEDERAL AGENCY:

  

10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER:	11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:
99-999	
TITLE:	
12. AREAS AFFECTED BY PROJECT (cities, countries, states, etc.)	

  

13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:	
Start Date	Ending Date	a. Applicant	b. Project

  

15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS?	
a. Federal		a. YES THIS PREAPPLICATION/APPLICATION WAS MADE AVAILABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____	
b. Applicant		b. NO 9 PROGRAM IS NOT COVERED BY E.O. 12372  9 OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW	
c. State		17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT?	
d. Local		9 Yes    If "Yes," attach an explanation.    9 No	
e. Other			
f. Program Income			
g. TOTAL			

  

18. TO THE BEST OF MY KNOWLEDGE AND BELIEF ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT. THE DOCUMENT HAS BEEN DULY AUTHORIZED BY		
a. Typed Name of Authorized Representative	b. Title	c. Telephone Number
d. Signature of Authorized Representative		e. Date Signed

This is a standard form used by applicants as a required facesheet for preapplications and applications submitted for Federal assistance. It will be used by Federal agencies to obtain applicant certification that States which have established review and comment procedure in response to Executive Order 12372 and have selected the program to be included in their process, have been given an opportunity to review the applicant's submission.

- | Item: | Entry:  | Item: | Entry:  |
|-------|---|-------|---|
| 1.    | Self-explanatory.   | 12.   | List only the largest political entities affected (e.g., State, counties, cities).  |
| 2.    | Date application submitted to Federal agency for State if applicable) & applicant's control number (if applicable).   | 13.   | Self-explanatory.   |
| 3.    | State use only (if applicable).   | 14.   | List the applicant's Congressional District and any District(s) affected by the program or project.   |
| 4.    | If this application is to continue or revise an existing award, enter present Federal Identifier number. If for a new project, leave blank.   | 15.   | Amount requested or to be contributed during the first funding/budget period by each contributor. Value of in-kind contributions should be included on appropriate lines as applicable. If the action will result in a dollar change to an existing award, indicate only the amount of the change. For decreases, enclose the amounts in parentheses. If both basic and supplemental amounts are included, show breakdown on an attached sheet. For multiple program funding, use totals and show breakdown using same categories as item 15. |
| 5.    | Legal name of applicant, name of primary organizational unit which will undertake the assistance activity, complete address of the applicant, and name and telephone number of the person to contact on matters related to this application.  | 16.   | Applicants should contact the State Single Point of Contact (SPOC) for Federal Executive Order 12372 to determine whether the application is subject to the State intergovernmental review process.   |
| 6.    | Enter Employer Identification Number (EIN) as assigned by the Internal Revenue Service.   | 17.   | This question applies to the applicant organization, not the person who signs as the authorized representative. Categories of debt include delinquent audit disallowances, loans and taxes.   |
| 7.    | Enter the appropriate letter in the space provided.   | 18.   | To be signed by the authorized representative of the applicant. A copy of the governing body's authorization for you to sign this application as official representative must be on file in the applicant's office. (Certain Federal agencies may require that this authorization be submitted as part of the application.)   |
| 8.    | Check appropriate box and enter appropriate letter(s) in the space(s) provided:<br>-"New" means a new assistance award.<br>-"Continuation" means an extension for an additional funding/budget period for a project with a projected completion date.<br>-"Revision" means any change in the Federal Government financial obligation or contingent liability from an existing obligation. |       |   |
| 9.    | Name of Federal agency from which assistance is being requested with this application.  |       |   |
| 10.   | Use the Catalog of Federal Domestic Assistance number and the title of the program under which assistance is requested.   |       |   |
| 11.   | Enter a brief descriptive title of the project. If more than one program is involved, you should append an explanation on a separate sheet. If appropriate (e.g., construction or real property projects), attach a map showing project location. For preapplications, use a separate sheet to provide a summary description of this project.   |       |   |

**Federal Assistance Budget Information****OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 1.87 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

1. Program/Project Identification No.	2. Program/Project Title
3. Name and Address	4. Program/Project Start Date
	5. Completion Date

**SECTION A - BUDGET SUMMARY**

Grant Program Function or Activity (a)	Federal Catalog No. (b)	Estimated Unobligated Funds		New or Revised Budget		
		Federal (c)	Non-Federal (d)	Federal (e)	Non-Federal (f)	Total (g)
1.		\$	\$	\$	\$	\$
2.						
3.						
4.						
5. TOTALS		\$	\$	\$	\$	\$

**SECTION B - BUDGET CATEGORIES**

6. Object Class Categories	Grant Program, Function or Activity				Total (5)
	(1)	(2)	(3)	(4)	
a. Personnel	\$	\$	\$	\$	\$
b. Fringe Benefits					
c. Travel					
d. Equipment					
e. Supplies					
f. Contractual					
g. Construction					
h. Other					
i. Total Direct Charges					
j. Indirect Charges					
k. TOTALS	\$	\$	\$	\$	\$
7. Program Income	\$	\$	\$	\$	\$

**FEDERAL ASSISTANCE BUDGET INFORMATION****INSTRUCTIONS**

- Item 1 - Enter the Federal grant or agreement identification number for the current year as it appears in the official award, if known.
- Item 2 - Enter the Program/Project official title as it appears in the award.
- Item 3 - Enter name and address of the agency or office responsible for coordination and administration of the Program/Project.
- Item 4 - Enter the official start date.
- Item 5 - Enter the official completion date as of the latest official modification.

**Section A. Budget Summary**

Lines 1-4, Columns (a) and (b).

For application pertaining to a single Federal assistance program (Federal Domestic Assistance Catalog number) and are requiring a functional or activity breakdown, enter on Line 1 under Column (a) the catalog program title and the catalog number in Column (b).

For applications pertaining to a single program requiring budget amounts by multiple functions or activities, enter the name of each line in Column (a), and enter the catalog number in Column (b). For applications pertaining to multiple programs where none of the programs require a breakdown by function or activity, enter the catalog program title on each line in Column (a) and the respective catalog number on each line in Column (b).

For applications pertaining to multiple programs where one or more programs require a breakdown by function or activity, prepare a separate sheet for each program requiring the breakdown. Additional sheets should be used when one form does not provide adequate space for all breakdown of data required. However, when more than one sheet is used, the first page should provide the summary totals by programs.

Lines 1-4, Columns (c) through (g).

For new applications, leave Columns (c) and (d) blank. For each line entry in Columns (a) and (b), enter in Columns (e), (f), and (g) the appropriate amounts of funds needed to support the project.

For continuing assistance program applications, submit these forms before the end of each funding year if required by Program Manager. Enter in Columns (c) and (d) the estimated amounts of funds which will remain unobligated at the end of the funding period only if the award instructions provide for this. Otherwise, leave these columns blank. Enter in Columns (e) and (f) the amount of funds

needed for the upcoming period. The amount(s) in Column (g) should be the sum of the amounts in Columns (e) and (f).

For supplemental awards and changes to existing awards, do not use Columns (c) and (d). Enter in Column (e) the amount of the increase or decrease of Federal funds and enter in Column (f) the amount of increase or decrease of non-Federal funds. In Column (g) enter the new total budgeted amount (Federal and non-Federal) which includes the total previous authorized budgeted amounts plus or minus, as appropriate, the amounts shown in Columns (e) and (f). The amount(s) in Column (g) should not equal the sum of the amounts in Columns (e) and (f). Line 5 - Show the totals for all columns used.

**Section B. Budget Categories**

In the column headings (1) through (4), enter the titles of the same programs, functions, and activities shown on Lines 1-4, Column (a), Section A. When additional sheets were prepared for Section A, provide similar column headings on each sheet. For each program, function or activity, fill in the total requirements for funds (both Federal and non-Federal) by object class categories.

- Item 6a-h Show the estimated amount for each direct cost budget (object class) category for each column with program, function or activity heading.
- Item 6i - Show the totals of Lines 6a to 6h in each column.
- Item 6j - Show the amount of indirect cost.
- Item 6k - Enter the total of amounts on Line 6i and 6j. For all applications for new and continuation awards, the total amount in Column (5), Line 6k, should be the same as the total amount shown in Section A, Column (g), Line 5. For supplemental awards and changes to awards, the total amount of the increase or decrease as shown in Columns (1) - (4), Line 6k, should be the same as the sum of the amounts in Section A, Columns (e) and (f) on Line 5. When additional sheets were prepared, the last two sentences apply only to the first page with summary totals.
- Item 7 - Enter the estimated amount of income, if any, expected to be generated from this project. Do not add or subtract this amount from the total project amount. Show under the program narrative statement the nature and source of income. The estimated amount of program income may be considered by the Program Manager in determining the total amount of the award.

Please provide detailed data to support each Cost Category as follows:

a. Identify, by title, each position to be supported under the proposed award.

b. Briefly specify the duties of professionals to be compensated under this project.

c. State the amounts of time, such as hours or percentage of time, to be expended by each position, their base pay rate and total direct compensation under this project.

Position/Person	Time	X	Rate	=
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a. Indicate the basis for computation of rates, including the types of benefits to be provided, the rate(s) used, and the cost base for each rate.

b. Are the fringe cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit.

**3. TRAVEL**

Identify total Foreign and Domestic Travel as separate items.

- a. Indicate the estimated number of trips, point of origin, destination, and purpose of travel.
- b. For each trip, itemize the estimate of transportation and/or subsistence costs.
- c. Specify the basis for computation of each type of travel expense (e.g., current airline ticket quotes, past trips of a similar nature, federal government or organization travel policy, etc.).

**4. EQUIPMENT - As defined at 10 CFR 600.101 and 10 CFR 600.202, "Equipment"**

- a. Indicate the estimated unit cost and number of units for each item to be purchased.
- b. Provide the basis for the equipment cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).

- c. Briefly justify the need for items of equipment to be purchased.

**5. MATERIALS AND SUPPLIES** - As defined at 10 CFR 600.101 and 10 CFR 600.202, "Supplies"

- a. Indicate the estimated unit cost and number of units for each item to be purchased.
  
  
  
  
  
  
  
  
  
  
- b. Provide the basis for the material cost estimates (e.g., vendor quotes, prior purchases of similar or like items, etc.).
  
  
  
  
  
  
  
  
  
  
- c. Briefly justify the need for items of material to be purchased.

**6. CONTRACTS AND SUBGRANTS**

- (1) For proposed contractors/subgrantees provide the following:

Competitively selected:

<u>Contractor/Subgrantee</u>	<u>Cost</u>	<u>Work Description</u>
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### Work Description

### Work Description

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8.

- a. State the amounts and percentages used for calculation of indirect costs.
- b. Are the indirect cost rates approved by a Federal Agency? If so, identify the agency and date of latest rate agreement or audit.
- c. If indirect cost rates are not approved by a Federal Agency, state the basis for the proposed indirect cost rates.

**U.S. DEPARTMENT OF ENERGY  
GOLDEN FIELD OFFICE**



**ENVIRONMENTAL CHECKLIST**

**INSTRUCTIONS:**

- 1) This form is a stand alone document and must include ALL requested information. Only provide attachments to respond to a specific item.
- 2) Complete this form in accordance with the attached Instructions (*Instructions for Preparation of the Golden Field Office Environmental Checklist.*) Note: *THIS FORM MUST BE TYPED, SIGNED, AND DATED.*
- 3) Upon completion and verification of accuracy, submit to the Department of Energy's Golden Field Office.

**NOTE:** This form should only be used for Golden Field Office sponsored projects. For projects sponsored by other Department of Energy offices, please contact that particular Office to obtain the correct form.

**PART A: Awardee Information - Please complete all information.**

Project Title: \_\_\_\_\_

Awardee Organization Name: \_\_\_\_\_

Project Director Name: \_\_\_\_\_ Phone Number: \_\_\_\_\_

Project Director Title: \_\_\_\_\_

Project Director Signature: \_\_\_\_\_ Date: \_\_\_\_\_

**PART B: Proposal Summary**

**NOTE: THIS SECTION IS A BRIEF SUMMARY OF THE PROPOSED SCOPE OF WORK.**

In 200 words or less, please provide the following information:

- (a) *What* will be done;
- (b) *When* the DOE sponsored work is scheduled to occur;
- (c) *How* the work will be accomplished (i.e., what methods/procedures/instruments will be used);
- (d) *Where* the proposed activity will take place (including the city/state); and
- (e) *Environmental* conditions of the site (i.e., landscaped office park, industrial park, rural park, rural area, university campus, etc.).

**PART C: Environmental/Sensitive Resource Considerations**

Evaluate the following with respect to the proposed project/activity, and mark each with a "yes" or "no" response, as appropriate. For each "yes" response, please provide an explanation on an attached sheet. The "Instructions for Preparation of the Golden Field Office Environmental Checklist (ECL)" can assist you with these responses.

		YES	NO
1.	Threatened/Endangered Species and/or Critical Habitat .....	_____	_____
2.	Other Protected Species (Wild Burros, Migratory Birds) .....	_____	_____
3.	Wetlands .....	_____	_____
4.	Archeological/Cultural Resources .....	_____	_____
5.	Prime, Unique or Important Farmland .....	_____	_____
6.	Non-Attainment Areas .....	_____	_____
7.	Class I Air Quality Control Region .....	_____	_____
8.	Special Sources of Groundwater (e.g., Sole Source Aquifer) .....	_____	_____
9.	Navigable Air Space .....	_____	_____
10.	Coastal Zones .....	_____	_____
11.	Areas with Special Designation (e.g., National Forests, Parks, Trails) .....	_____	_____
12.	Floodplains .....	_____	_____
13.	Exemption from ES&H Regulations or Permits .....	_____	_____
14.	Disturbance of Pre-Existing Contamination .....	_____	_____
15.	New or Modified Federal/State Permits .....	_____	_____
16.	Public Controversy .....	_____	_____
17.	Depletion of a Non-Renewable Resource .....	_____	_____
18.	Clearing or Excavation (indicate if greater than 5 acres) .....	_____	_____
19.	Dredge and/or Fill (indicate if greater than 10 acres) .....	_____	_____
20.	Noise (in excess of regulations) .....	_____	_____
21.	Asbestos Removal .....	_____	_____
22.	Polychlorinated Biphenyls (PCBs) .....	_____	_____
23.	Import, Manufacture, or Processing of Toxic Substances .....	_____	_____
24.	Chemical Storage and Use .....	_____	_____
25.	Pesticide Use .....	_____	_____
26.	Hazardous, Toxic, or Criteria Pollutant Air Emissions .....	_____	_____
27.	Liquid Effluent .....	_____	_____
28.	Underground Injection .....	_____	_____
29.	Hazardous Waste .....	_____	_____
30.	Underground Storage Tanks .....	_____	_____
31.	Radioactive Mixed Waste .....	_____	_____
32.	Radioactive Waste .....	_____	_____
33.	Radiation Exposures .....	_____	_____

## U. S. DEPARTMENT OF ENERGY GOLDEN FIELD OFFICE



### INSTRUCTIONS FOR PREPARATION OF THE GOLDEN FIELD OFFICE ENVIRONMENTAL CHECKLIST (ECL)

The Environmental Checklist (ECL) has been created to provide information to the DOE decision makers on potential environmental impacts of the proposed DOE-sponsored activities. This information will enable DOE to enable the environmental impacts of its enabling actions, in compliance with the National Environmental Policy Act (NEPA) and the DOE regulation for implementation of NEPA [DOE NEPA Rule, 10 Code of Federal Regulations (CFR) 1021]. Submittal of complete and accurate information is critical to an expeditious review and is a prerequisite for DOE authorization of actions. The following guidance is provided to assist the preparer in providing the necessary information. If additional assistance is required, please contact the Golden Field Office NEPA Compliance Officer at (303) 275-4700. Instruction numbers/letters correspond to entries on the ECL.

#### **PART A: AWARDEE INFORMATION**

**Project Title:** Enter the title of the proposed project.

**Awardee Organization Name:** Enter the name of the Organization, Company, University, etc. that will be conducting the proposed action.

**Project Director Name and Phone Number:** Enter the name/phone number of the project director. The project project director should be capable of verifying entries, and be the point of contact for further information or clarification.

**Project Director Title:** Enter the title of the project director.

**Signature and Date:** Signature of the project director. This form must be signed and dated by the individual noted above before this form will be reviewed.

#### **PART B: PROPOSAL SUMMARY**

Provide a general description of the work to be done. Include what will be done, when the work is scheduled to occur, how it is to be accomplished, where the work will take place, and the geographic location of the proposed work, including the city and state and a characterization of the environmental conditions. The description of the proposed action should focus on physical actions, to support entries in Part C. Action terminology (such as "grade," "dig," "haul") is preferred over vague terminology such as "construct," "implement," "operate." Types of equipment should be specified as well.

#### **PART C: ENVIRONMENTAL/SENSITIVE RESOURCE CONSIDERATIONS**

Evaluate each of the following with respect to the proposed action and determine whether any potential impacts may occur as a result of that action. Provide an explanation for all "YES" responses.

1. Threatened/Endangered (T/E) Species and/or Critical Habitat . The Endangered Species Act provides for protection of animals, birds, fish, plants, and other living organisms that are in danger of extinction throughout all or a significant portion of their range. A list of T/E species is provided in 50 CFR Part 17, and consultation with the U.S. Department of Interior Fish and Wildlife Service (FWS) and the corresponding state agency should be documented, in appropriate. This item should be checked "yes" if any state- or federally-listed or proposed threatened or endangered species or critical habitat is located in the potential area of affect, or could be indirectly affected by the proposed action. If the status of T/E species at the proposed project location is unknown, please contact the local or state office of the FWS to obtain a listing of potential species and habitats for the area.

2. Other Protected Species. Other federal and state laws which protect wildlife species include: the Bald and Golden Eagle Protection Act; Wild and Free-Roaming Horses and Burros Act; and the Migratory Bird Treaty Act. Examples of protected migratory birds include Canadian geese and great blue herons. This item should be checked "yes" if the proposed action may directly or indirectly impact any of these species or their habitats. If the status of these other protected species at the proposed project location is unknown, please contact the local or state office of the FWS to obtain a listing of potential species and habitats for the area.
3. Wetlands. "Wetlands" are areas inundated by surface or groundwater with a frequency sufficient to support and under normal circumstances do or would support a prevalence of vegetative or aquatic life that requires saturated or seasonally saturated soil conditions for growth and reproduction. [DOE regulation, 10 CFR 1022]. Wetlands generally include swamps, marshes, bogs, and similar areas such as sloughs, potholes, wet meadows, river overflow, mudflats, and natural ponds. Man-made ponds can qualify as wetlands if invasion of appropriate flora or fauna has occurred. Appropriate documentation of presence or absence of wetlands within the area of project effect includes: FWS National Wetlands Inventory; U.S. Department of Agriculture Soil Conservation Service Local Identification Maps; U.S. Geological Service (USGS) Local Identification Maps; USGS Topographic Maps; state wetland inventories; and Regional or local government sponsored wetland and land use inventories. Executive Order 11990 Protection of Wetlands requires federal agencies to consider the effects of proposed actions on wetlands, and to avoid, to the extent possible, destruction and modification of wetlands. If the status of land in or around the proposed project location is unknown, please contact the state or local Corp of Engineer's Office.
4. Archeological/Historic/Cultural Resources. The National Historic Preservation Act, the Historic Sites, Buildings and Antiquities Act; the American Indian Religious Freedom Act, the Native American Graves Protection and Repatriation Act; and the Archeological Recovery Act provide for the preservation of sites, buildings, structures, or objects of historic, archeological, or architectural significance designated by Indian, federal, state, or local governments or listed or eligible for listing on the National Register of Historic Places. The Archeological Resources Protection Act and Antiquities Act also apply if the proposed action is on federal land. This item should be checked "yes" if a proposed action is in an area for which an archeological survey has not been performed. Provide documentation of any consultation or State Historic Preservation Officer determination letters if available. If this information is not available or a survey has not been conducted recently, DOE may require such a survey to be conducted prior to any proposed project implementation.
5. Prime, Unique, or Important Farmland. The Farmland Protection Policy Act requires federal agencies to consider ways to lessen the effects of proposed actions which convert or adversely affect prime farmland which is not already in or committed to urban development or water storage. Prime farmland "already in" urban development includes all such land with a density of 30 structures per 40 acre area. Prime farmland "committed to" urban development includes all such land that has been designated for commercial, industrial, or residential use by zoning code, ordinance, or a comprehensive land use plan. The U.S. Department of Agriculture Soil Conservation Service (SCS) field office serving the area can provide assistance in determining whether a proposed location or site meets the Act's definition of farmland. Form AD 1006, the Farmland Conversion Impact Rating Form, available at SCS offices, should be used for this purpose.
6. Non-Attainment Areas. Non-attainment areas are geographic areas which do not meet one or more of the National Ambient Air Quality Standards for the criteria pollutants, as designated by the Environmental Protection Agency (EPA) in 40 CFR 81.301. Standards have been established for six criteria pollutants (sulfur dioxide, particulate matter, carbon monoxide, ozone, nitrogen dioxide, or lead). Indicate "yes" if the proposed action will result in the emission of a criteria pollutant. Indicate if the area is classified as non-attainment area and what category ("marginal," "moderate," "serious," "severe," or "extreme"). The air permitting branch of the state or federal regulatory agency can assist in providing this information.
7. Class I Air Quality Control Region (AQCR). Class I AQCRs are special attainment-status geographic regions designated for allowance of only minor air quality deteriorations, and are generally national parks or wilderness areas greater than 5,000 acres in size as defined in 40 CFR 81.400-437. If the proposed action will emit criteria pollutant, identify Class I air quality areas within 10 km. The air permitting branch of the state or federal regulatory agency can assist in providing this information.
8. Special Sources of Groundwater. The EPA designates Critical Aquifer Protection Areas and Sole or Principal Source Aquifers, and states designates Wellhead Protection Areas in accordance with Section 1427, 1424(e), and 1428 of the Safe Drinking Water Act, respectively. Such areas are accorded special protection to assure the quality and availability of public water supplies. Indicate "yes" if the location of the proposed action has been designated for protection (e.g., is included in an area wide groundwater quality protection plan), or would constitute a potential source of contamination within an existing or expected wellhead protection area serving a public water supply. If aquifer designations are not known for the proposed project area, contact the environmental protection office for the State.

9. Navigable Air Space. The U.S. Department of Transportation Federal Aviation Administration (FAA) regulates objects which invade navigable air space or otherwise constitute an obstruction to air navigation, and determines whether such activities constitute a navigation hazard. Indicate "yes" if the proposed action involves construction or alteration more than 200 feet above ground level, any construction or alteration in instrument approach areas, and other construction or alteration identified in 14 CFR 77.13a. Document notification of the Manager, Air Traffic Division, of the FAA Regional Office having jurisdiction over the area within which the construction or alteration will be located. Copies of FAA Form 7460-1 Notice of Proposed Construction or Alteration may be obtained from the regional FAA office.

10. Coastal Zones. The term "coastal zone" means the coastal waters and adjacent shorelands of the Great Lakes, and the Atlantic, Pacific, and Arctic Oceans, Gulf of Mexico, and Long Island Sound. The term "coastal state" includes the states bordering on those bodies, plus Puerto Rico, the Virgin Islands, Guam, the Commonwealth of Northern Mariana Islands, and the Trust Territories of the Pacific Islands and American Samoa. Coastal states have authority over actions which directly affect coastal zones, in accordance with the Department of Commerce regulations promulgated under the Coastal Zone Management Act. Federal activities and federal development projects must be consistent with state coastal zone management (CZM) programs to the maximum extent possible. Federal activities are those performed by or on behalf of a federal agency in the exercise of its statutory responsibilities, but do not include the issuance of a federal license or permit or the granting of federal assistance. Indicate "yes" if the proposed action is located in a coastal zone State or is in the vicinity of a coastal zone State. If a consistency determination has been obtained, or a written "negative determination" (indicating that a consistency determination is not required) please provide a copy.

11. Areas with Special Designation. Various federal laws restrict the ability of federal agencies to aid developments affecting national wilderness areas, national memorial parks, national parks, national monuments, national primitive areas, national preserves, national recreational areas, national wild and scenic rivers, national grasslands, national wildlife refuges, national forests, national lakeshore or seashore, and national trails. Indicate "yes" if any of these areas of special environmental or natural significance is within the area of adjacent to the proposed project location.

12. Floodplains. "Floodplains" are lowlands adjoining inland and coastal waters with a 1 percent or greater chance of inundation in any given year. Indicate "yes" if the proposed project location is in or adjacent to a floodplain area. If documentation is available noting the floodplain boundaries, please provide a copy. Appropriate documentation of the 100 year floodplain [or 500 year floodplain for certain "flood critical" actions] boundaries include: Flood Insurance Rate Maps or Flood Hazard Boundary Maps prepared by the Federal Insurance Administration of the Department of Housing and Urban Development. Executive Order 11988 Floodplain Management requires federal agencies to avoid incompatible development in floodplains, and consider the conformance of the proposed action to floodplain standard, potential effects of the proposed actions on floodplains, and potential effects of floodplain modifications on other local properties and improvements.

13. Exemption from ES&H Regulations or Permits. Indicate if the proposed project will involve a request for an exemption from a statutory, regulatory, or permit requirements (or where applicable, DOE order requirements).

14. Disturbance of Pre-Existing Contamination. Indicate if the proposed action will disturb hazardous substances, pollutants, contaminants, or Comprehensive Environmental Response and Liability Act (CERCLA)-excluded petroleum and natural gas products that pre-exist in the environment such that there would be an uncontrolled or unpermitted release. Quantify and characterize such pre-existing substances, and indicate "yes" if above background levels. Also quantify the volume of spoils which would require transport to a Resource Conservation and Recovery Act (RCRA) permitted treatment, storage, or disposal facility. Indicate in particular if unavailability of sufficient nationwide treatment capacity could result in violation of the land ban requirements.

15. New or Modified Federal/State Permits. State, local, and federal agencies may require new permits, or modification of existing permits, for the proposed project. Specify interactions to be undertaken, and demonstrate that appropriate time allowances has been made in the project schedule for the permitting process(es).

16. Public Controversy. Indicate "yes" if there is a known potential for public controversy, indicate what the issue is, the level of interest, and describe outreach activities (publicity, meetings, and other interactions) which are planned or may have occurred with government officials, public interest groups, and other interested parties.

17. Depletion of a Non-Renewable Resource. Some naturally occurring substances (e.g., metals, minerals, fossil fuels) are in limited supply and cannot be replaced or regenerated. The exhaustion, or threatened exhaustion, of that resource could, therefore, have significant ramifications. Indicate "yes" if the proposed action would involve a resource which is in limited supply.

18. Clearing or Excavation. Indicate "yes" if the proposed action includes any uncovering of soil, sediments, or land subsurfaces by digging, grading, or blasting. Estimate area to be affected and spoils volume, and describe planned disposition of spoils. Describe the potential for runoff or erosion, any control techniques to be employed, and the distance to nearby surface water bodies, including wetlands.

19. Dredge or Fill. Dredging is the excavation of material from waters of the United States. Filling is the discharge of material into waters of the United States to change the bottom elevation. Waters of the United States are all interstate waters, and intrastate lakes, rivers, streams, mudflats, wetlands, sloughs, plays, or natural ponds. Indicate "yes" if the proposed action includes these activities, "ocean dumping" as regulated under Sections 102 and 103 of the Clean Water Act, other activities which involve construction of dams, dikes, piers, etc. or could alter the course of waters of the United States, or any shore activity with the potential for runoff to waters of the United States. If available, include documentation of appropriate consultation(s), e.g., with the Army Corps of Engineers under Section 404 of the Clean Water Act or Sections 9 and 10 of the Rivers and Harbors Act; with EPA [40 CFR Parts 220-233]; or with FWS under the Fish and Wildlife Coordination Act (for watercourse modification, control, or for an impoundment 10 acres or greater). Describe construction method and mitigation in the space provided.

20. Noise. Indicate "yes" if proposed action would cause a significant increase in noise over background levels, or if the proposed action would generate noise in excess of the applicable state noise limitations. Quantify noise levels of construction and operation in decibels and compare to background or standards.

21. Asbestos Removal. Asbestos abatement projects are regulated by the EPA in accordance with the Toxic Substances Control Act (TSCA), and asbestos emissions are regulated by EPA as a hazardous air pollutant under the Clean Air Act. If the proposed action includes demolition or renovation of an existing building, verify the presence of asbestos. A "yes" answer should be supported by a description of measures to be undertaken to comply with asbestos removal requirements of 40 CFR Parts 763 (Subpart G) and 40 CFR 61 (Subpart M).

22. Polychlorinated Biphenyls (PCBs). Manufacture, processing, transport, use, marking, storage, and disposal of PCBs is regulated by EPA [40 CFR Part 761] in accordance with the Toxic Substances Control Act. Some states also regulate PCBs as hazardous waste. If the proposed action involves replacement or removal of capacitors, transformers, voltage regulators, circuit breakers, switches, cables, electromagnets, or other electrical equipment, presence or absence of PCBs should be ascertained. A "yes" indication should be supported with information on the concentration and quantity of PCB oil involved, and the intended method/location of disposal.

23. Import, Manufacture, or Processing of Toxic Substances. Indicate "yes" if the proposed action involves the importation, manufacture, or processing of toxic substances listed at 40 CFR Parts 700-799 (Subparts B and D of Part 704).

24. Chemical Storage and Use. Indicate "yes" if the proposed action involves laboratory and/or other use of chemicals or extremely hazardous substances in excess of threshold planning quantities as listed in 29 CFR 1910.1000 and 40 CFR 355. Identify types and quantities, and whether chemical use will be performed in a laboratory setting under the supervision of a trained professional.

25. Pesticide Use. A pesticide is a substance intended for preventing, destroying, repelling, or mitigating any pest (e.g., insect, rodent nematode, fungus, or weed, including any substance intended for use as a plant regulator, defoliant, or desiccant). While the Federal Insecticide, Fungicide, and Rodenticide Act imposes no requirements on private applicators, commercial pesticide applicators must be certified by the state or U.S. EPA. Indicate "yes" if the services of a commercial pesticide applicator would be an element of the proposed action. If "no," but private application is anticipated, document measures to be undertaken to assure safe storage, use, and disposal.

26. Hazardous, Toxic, or Criteria Pollutant Air Emissions. Indicate "yes" if the proposed action would result in the emission of a criteria pollutant (sulfur dioxide, particulate matter, carbon monoxide, ozone, nitrogen dioxide, or lead); hazardous air pollutants as defined in 40 CFR Part 61, and/or toxic air pollutants designated by U.S. EPA or the state under Section 112(b) of the Clean Air Act. Quantify anticipated air emissions, indicate the applicable emission standard, and describe any abatement measures to be employed. Indicate if the proposed action includes construction or operation of a major source or major modification under 40 CFR 51.166, Section 112 of the Clean Air Act.

27. Liquid Effluent. Indicate "yes" if the proposed action involves a discharge to publicly-owned treatment works, sewage treatment plan, soils, retention ponds, or waters of the United States or state. Quantify and characterize pollutants, including toxic pollutants as defined in 40 CFR 129.4, and thermal discharges. Also indicate "yes" if proposed action qualifies as a stormwater "discharge associated with industrial activity." These non-point source discharges include construction activities exceeding 5 acres in area, and runoff from coal piles and other raw materials (e.g., salt, sand).

28. Underground Injection. Well injection is the subsurface emplacement of fluids through a bored, drilled, or driven well, or through a dug well where the depth of the well is greater than the largest surface dimension. If the proposed action involves construction or use of an injection well, indicate "yes," and describe the class of the well as defined in 40 CFR 146.5, the type and quantity of contaminants (e.g., waste disposal, hydrocarbon or mineral extraction) and if the injection involves an exempt aquifer as defined in 40 CFR 146.4.

29. Hazardous Waste. Indicate "yes" if the proposed action would involve generation and/or management (treatment, storage, disposal, or transport) of hazardous wastes as defined in 40 CFR Part 261, Subparts C and D. Supporting documentation should include characterization of hazardous waste streams, estimates of annual quantities, and a description of waste management activities. If waste transport is anticipated, indicate transporter, number of loads, and approximate distance travelled. Indicate if the unavailability of sufficient nationwide treatment capacity could result in violation of the land ban requirements.

30. Underground Storage Tanks. Indicate "yes" if 10 percent or more of tank volume (including the volume of underground pipes) will be beneath surface of the ground. Indicate if installation, use, or removal of underground storage tanks is anticipated, and indicate if tank use is/was for storage/collection of hazardous waste, heating oil, other petroleum or petroleum-based substances, stormwater, or wastewater. Describe leak detection/monitoring methods to be used.

31. Radioactive (AEA) Mixed Waste. Radioactive Mixed Waste is waste which has a radioactive component under the Atomic Energy Act (AEA) and a hazardous component regulated under RCRA. Waste composed of a hazardous waste in mixture with a radioactive material which is not source, special nuclear, or byproduct material does not meet this definition, and is just hazardous waste regulated by EPA and the states. [Radioactive material licensed by the Nuclear Regulatory Commission (NRC) would qualify as AEA-regulated.] If "yes," indicate quantity and components of mixture.

32. Radioactive Waste. If radioactive wastes will be generated indicate "yes" and quantify/characterize radioactive effluents, emissions, and other solid wastes, and describe anticipated compliance actions. Permissible disposal activities and release limits for radioactive waste are established by NRC and EPA as defined in 10 CFR 20 and 40 CFR Parts 61, respectively.

33. Radiation Exposures. If the proposed action involves use of radioactive substances, indicate "yes" and indicate the type of substance(s) to be used. Quantify the dose to occupational workers and the public, and/or radioactive emissions to the environment, and compare that dose to the dose limits established by NRC in 10 CFR 20 Subpart I, and EPA in 40 CFR 61 Appendix D, as appropriate.



**U.S. Department of Energy  
Assurance of Compliance  
Nondiscrimination in Federally Assisted Programs**

**OMB Burden Disclosure Statement**

Public reporting burden for this collection of information is estimated to average 15 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to Office of Information Resources Management Policy, Plans, and Oversight, Records Management Division, HR-422 - GTN, Paperwork Reduction Project (1910-0400), U.S. Department of Energy, 1000 Independence Avenue, S.W., Washington, DC 20585; and to the Office of Management and Budget (OMB), Paperwork Reduction Project (1910-0400), Washington, DC 20503.

(Hereinafter called the

"Applicant") HEREBY AGREES to comply with Title VI of the Civil Rights Act of 1964 (Pub. L. 88-352), Section 16 of the Federal Energy Administration Act of 1974 (Pub. L. 93-275), Section 401 of the Energy Reorganization Act of 1974 (Pub. L. 93-438), Title IX of the Education Amendments of 1972, as amended, (Pub. L. 92-318, Pub. L. 93-568, and Pub. L. 94-482), Section 504 of the Rehabilitation Act of 1973 (Pub. L. 93-112), the Age Discrimination Act of 1977 (Pub. L. 94-135), Title VIII of the Civil Rights Act of 1968 (Pub. L. 90-284), the Department of Energy Organization Act of 1977 (Pub. L. 95-91), the Energy Conservation and Production Act of 1976, as amended, (Pub. L. 94-385) and Title 10, Code of Federal Regulations, Part 1040. In accordance with the above laws and regulations issued pursuant thereto, the Applicant agrees to assure that no person in the United States shall, on the ground of race, color, national origin, sex, age, or disability, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity in which the Applicant receives Federal assistance from the Department of Energy.

**Applicability and Period of Obligation**

In the case of any service, financial aid, covered employment, equipment, property, or structure provided, leased, or improved with Federal assistance extended to the Applicant by the Department of Energy, this assurance obligates the Applicant for the period during which Federal assistance is extended. In the case of any transfer of such service, financial aid, equipment, property, or structure, this assurance obligates the transferee for the period during which Federal assistance is extended. If any personal property is so provided, this assurance obligates the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance obligates the Applicant for the period during which the Federal assistance is extended to the Applicant by the Department of Energy.

**Employment Practices**

Where a primary objective of the Federal assistance is to provide employment or where the Applicant's employment practices affect the delivery of services in programs or activities resulting from Federal assistance extended by the Department, the Applicant agrees not to discriminate on the ground of race, color, national origin, sex, age, or disability, in its employment practices. Such employment practices may include, but are not limited to, recruitment, advertising, hiring, layoff or termination, promotion, demotion, transfer, rates of pay, training and participation in upward mobility programs; or other forms of compensation and use of facilities.

**Subrecipient Assurance**

The Applicant shall require any individual, organization, or other entity with whom it subcontracts, subgrants, or subleases for the purpose of providing any service, financial aid, equipment, property, or structure to comply with laws and regulations cited above. To this end, the subrecipient shall be required to sign a written assurance form; however, the obligation of both recipient and subrecipient to ensure compliance is not relieved by the collection or submission of written assurance forms.

**Data Collection and Access to Records**

The Applicant agrees to compile and maintain information pertaining to programs or activities developed as a result of the Applicant's receipt of Federal assistance from the Department of Energy. Such information shall include, but is not limited to the following: (1) the manner in which services are or will be provided and related data necessary for determining whether any persons are or will be denied such services on the basis of prohibited discrimination; (2) the population eligible to be served by race, color, national origin, sex, and disability; (3) data regarding covered employment including use or planned use of bilingual public contact employees serving beneficiaries of the program where necessary to permit effective participation by beneficiaries unable to speak or understand English; (4) the location of existing or proposed facilities connected with the program and related information adequate for determining whether the location has or will have the effect of unnecessarily denying access to any person on the basis of prohibited discrimination; (5) the present or proposed membership by race, color, national origin, sex, age and disability in any planning or advisory body which is an integral part of the program; and (6) any additional written data determined by the Department of Energy to be relevant to the obligation to assure compliance by recipients with laws cited in the first paragraph of this assurance.

The Applicant agrees to submit requested data to the Department of Energy regarding programs and activities developed by the Applicant from the use of Federal assistance funds extended by the Department of Energy. Facilities of the Applicant (including the physical plants, buildings, or other structures) and all records, books, accounts, and other sources of information pertinent to the Applicant's compliance with the civil rights laws shall be made available for inspection during normal business hours of request of an officer or employee of the Department of Energy specifically authorized to make such inspections. Instructions in this regard will be provided by the Director, Office of Civil Rights, U.S. Department of Energy.

This assurance is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts (excluding procurement contracts), property, discounts or other Federal assistance extended after the date hereof, to the Applicants by the Department of Energy, including installment payments on account after such data of application for Federal assistance which are approved before such date. The Applicant recognizes and agrees that such Federal assistance will be extended in reliance upon the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, the successors, transferees, and assignees, as well as the person(s) whose signatures appear below and who are authorized to sign this assurance on behalf of the Applicant.

### Applicant Certification

The Applicant certifies that it has complied, or that, within 90 days of the date of the grant, it will comply with all applicable requirements of 10 C.F.R. § 1040.5 (a copy will be furnished to the Applicant upon written request to DOE).

Designated Responsible Employee

\_\_\_\_\_  
Name and Title (Printed or Typed)

( ) \_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Applicant's Name

( ) \_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Address:

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorized Official:  
President, Chief Executive Officer  
or Authorized Designee

\_\_\_\_\_  
Name and Title (Printed or Typed)

( ) \_\_\_\_\_  
Telephone Number

\_\_\_\_\_  
Signature

( ) \_\_\_\_\_  
Date

## CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUG-FREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 34 CFR Part 82, "New Restrictions on Lobbying," and 34 CFR Part 85, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Energy determines to award the covered transaction, grant, or cooperative agreement.

### 1. LOBBYING

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- (2) If any funds than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.
- (3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

### 2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS

- (1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:
  - (a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;
  - (b) Have not within a three-year period receding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) Are not presently indicted for or otherwise criminally or civilly charged by a government entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

- (d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

- (2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

### 3. DRUG-FREE WORKPLACE

This certification is required by the Drug-Free Workplace Act of 1988 (Pub. L. 100-690, Title V, Subtitle D) and is implemented through additions to the Debarment and Suspension regulations, published in the Federal Register on January 31, 1989, and May 25, 1990.

#### ALTERNATE I (GRANTEES OTHER THAN INDIVIDUALS)

- (1) The grantee certifies that it will or will continue to provide a drug-free workplace by:
  - (a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;
  - (b) Establishing an ongoing drug-free awareness program to inform employees about:
    - (1) The dangers of drug abuse in the workplace;
    - (2) The grantee's policy of maintaining a drug-free workplace;
    - (3) Any available drug counseling, rehabilitation, and employee assistance programs; and
    - (4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;
  - (c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
  - (d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will:

- (1) Abide by the terms of the statement; and
- (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the work-place not later than five calendar days after such conviction.
- (e) Notifying the agency, in writing, within ten calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to energy grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;
- (f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted:
  - (1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or
  - (2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;
- (g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- (2) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance:

(Street address, city, county, state, zip code)

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- 9** Check if there are workplaces  
on file that are not identified here.

#### 4. Lobbying Disclosure Act of 1995, Simpson-Craig Amendment

Applicant organizations which are described in section 501(c)(4) of the Internal Revenue Code of 1986 and engage in lobbying activities after December 31, 1995, shall not be eligible for the receipt of Federal funds constituting an award, grant, or loan. Section 501(c)(4) of the Internal Revenue Code of 1986 covers:

*Civic leagues or organizations not organized for profit but operated exclusively for the promotion of social welfare, or local associations of employees, the membership of which is limited to the employees of a designated person or persons in a particular municipality, and the net earnings of which are devoted exclusively to charitable, educational, or recreational purposes.*

As set forth in the Lobbying Disclosure Act of 1995 (Public Law 104-65, December 19, 1995), as amended ["Simpson-Craig Amendment," see Section 129 of The Balanced Budget Downpayment Act, I (Public Law 104-99, January 26, 1996)], lobbying activities is defined broadly. (See section 3 of the Act.)

The undersigned certifies, to the best of his or her knowledge and belief, that: it **IS NOT** an organization described in section 501(c)(4) of the Internal Revenue Code of 1986; OR that it **IS** an organization described in section 501(c)(4) of the Internal Revenue Code of 1986, which, after December 31, 1995, **HAS NOT** engaged in any lobbying activities as defined in the Lobbying Disclosure Act of 1995, as amended.

#### ALTERNATE II (GRANTEES WHO ARE INDIVIDUALS)

- (1) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substances in conducting any activity with the grant.
- (2) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

NAME OF APPLICANT	PR/AWARD NUMBER AND/OR PROJECT NAME
PRINTED NAME AND TITLE OF AUTHORIZED REPRESENTATIVE	
SIGNATURE	DATE

**U.S. DEPARTMENT OF ENERGY  
GOLDEN FIELD OFFICE****FINANCIAL ASSISTANCE PRE-AWARD INFORMATION SHEET**

Grantee: \_\_\_\_\_

Grant No.: \_\_\_\_\_ Amendment No.: \_\_\_\_\_

**A. INTELLECTUAL PROPERTY****A.1. THE GRANTEE IS:**

- ☐ A university or other institution of higher education or an organization of the type described in Section 501(c)(3) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or
- ☐ An organization of the type described in Section 501(c)(4) of the Internal Revenue Code of 1954 (26 USC 501(c)) and exempt from taxation under Section 501(a) of the Internal Revenue Code (26 USC 501(a)); or
- ☐ A nonprofit scientific or educational organization qualified under a State nonprofit organization statute. Please identify the statute.
- ☐ A small business concern as defined at Section 2 of Public Law 85-536 (15 USC 632) and implementing regulations of the administrator of the Small Business Administration.
- ☐ None of the above.

Grantees who have checked NONE OF THE ABOVE have the right to request, in advance or within 30 days after execution of the grant, in accordance with applicable statutes and DOE Procurement Regulation (9-9.109-6), a waiver of all or any part of the rights of the United States in Subject Inventions. If the grantee intends to request a waiver to such invention rights pursuant to DOE PR 9-9.109-6, please indicate:

- ☐ I intend to request an advance waiver in accordance with DOE PR 9-9.109-6.
- ☐ I do not intend to request an advance waiver.

## A.2. RIGHTS IN PROPOSAL DATA

It is DOE policy for a grant award based on a proposal that, in consideration of the award, the Government shall obtain unlimited rights in the technical data contained in the proposal unless the grantee marks those portions of the technical information which he asserts as "proprietary data" or specifies those portions of such technical data which are not directly related to or will not be utilized in the work to be funded under the grant. Accordingly, please indicate:

- ☐ No restrictions on Government rights in the proposal technical data; or
- ☐ The following identified technical data is proprietary or is not directly related to or will not be utilized in the work to be funded under the grant:

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## A.3. IDENTIFICATION OF TECHNICAL DATA WHICH IS PROPRIETARY

The Rights in Technical Data clause proposed to be used for this grant may not permit the utilization of proprietary data in the grant work or, if the use of proprietary data is permitted, may not be adequate to meet programmatic requirements. Use of data which is proprietary may prevent you from meeting the data requirements of the grant (including delivery of data). Your attention is particularly drawn to the use of LICENSED COMPUTER SOFTWARE.

Please indicate that you have reviewed the requirements in the technical scope of work and to the best of your knowledge:

- ☐ No proprietary data will be utilized in the grant work.
- ☐ Proprietary data as follows will be utilized in the grant work:

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- ☐ No LICENSED COMPUTER SOFTWARE will be utilized in the grant work.
- ☐ LICENSED COMPUTER SOFTWARE as follows will be utilized in the grant work:

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B. TYPE OF BUSINESS (IF NOT SPECIFICALLY IDENTIFIED IN SECTION A.1. OF THIS PRE-AWARD INFORMATION SHEET)

The Grantee is a:

- ( ) Individual
- ( ) Partnership
- ( ) State or Local Government
- ( ) Joint Venture

C. SOCIAL SECURITY NUMBER (SSN)

If the Grantee does not have an Internal Revenue Service (IRS) assigned Employer Identification Number (EIN), Grantee SSN is \_\_\_\_\_. (See block 5 of Grant Application, Standard Form 424.)

D. DATA UNIVERSAL NUMBERING SYSTEM (DUNS NUMBER)

Grantee DUNS Number is \_\_\_\_\_. For assistance in obtaining a DUNS Number, call Dunn & Bradstreet at 1-800-333-0505. The offeror should be prepared to provide the following information to Dunn & Bradstreet:

- (1) Company name.
- (2) Company address.
- (3) Company telephone number.
- (4) Line of business.
- (5) Chief executive officer/key manager.
- (6) Date the company was started.
- (7) Number of people employed by the company.
- (8) Company affiliation.

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Organization Name \_\_\_\_\_  
and address \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Phone: \_\_\_\_\_  
Fax: \_\_\_\_\_  
E-mail: \_\_\_\_\_

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

\_\_\_\_\_  
Name and Title of Authorized Representative